

ERP/WGE  
UNITED STATES DEPARTMENT OF COMMERCE

Patent and Trademark Office

Address: COMMISSIONER OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NO./TITLE
09/289,321	04/09/99	BACHOVCHIN	W 10254/7007(E)

ELIZABETH R PLUMER  
WOLF GREENFIELD & SACKS PC  
600 ATLANTIC AVENUE  
BOSTON MA 02210

0232/0527

NOT ASSIGNED

1642

DATE MAILED:

05/27/99

NOTICE TO FILE MISSING PARTS OF APPLICATION  
Filing Date Granted

An Application Number and Filing Date have been assigned to this application. The items indicated below, however, are missing. Applicant is given TWO MONTHS FROM THE DATE OF THIS NOTICE within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a). If any of items 1 or 3 through 5 are indicated as missing, the SURCHARGE set forth in 37 CFR 1.16(e) of \$65.00 for a small entity in compliance with 37 CFR 1.27, or \$130.00 for a non-small entity, must also be timely submitted in reply to this NOTICE to avoid abandonment.

If all required items on this form are filed within the period set above, the total amount owed by applicant as a  
☐ small entity (statement filed) ☐ non-small entity is \$ 1480

☒ 1. The statutory basic filing fee is:

- ☐ missing.  
☐ insufficient.

Applicant must submit \$ 2400 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).

☒ 2. The following additional claims fees are due:

- \$ 180 for 10 total claims over 20.  
\$ 156 for 2 independent claims over 3.  
\$ 200 for multiple dependent claim surcharge.

Applicant must either submit the additional claim fees or cancel additional claims for which fees are due.

☒ 3. The oath or declaration:

- ☐ is missing or unsigned.  
☐ does not cover the newly submitted items.

An oath or declaration in compliance with 37 CFR 1.63, including residence information and identifying the application by the above Application Number and Filing Date is required.

☐ 4. The signature(s) to the oath or declaration is/are by a person other than inventor or person qualified under 37 CFR 1.42, 1.43 or 1.47.

A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.

☐ 5. The signature of the following joint inventor(s) is missing from the oath or declaration:

An oath or declaration in compliance with 37 CFR 1.63 listing the names of all inventors and signed by the omitted inventor(s), identifying this application by the above Application Number and Filing Date, is required.

☐ 6. A \$50.00 processing fee is required since your check was returned without payment (37 CFR 1.21(m)).

☐ 7. Your filing receipt was mailed in error because your check was returned without payment.

☐ 8. The application was filed in a language other than English.

Applicant must file a verified English translation of the application, the \$130.00 set forth in 37 CFR 1.52(d), previously submitted, and a statement that the translation is accurate (37 CFR 1.52(d)).

☒ 9. OTHER: insufficient funds in deposit.

Direct the reply and any questions about this notice to "Attention: Box Missing Parts."

A copy of this notice **MUST** be returned with the reply.

UNBLACK

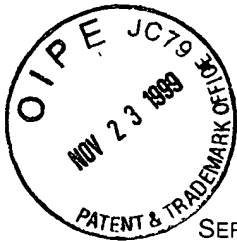
Customer Service Center

Initial Patent Examination Division (703) 308-1202

11/29/1999 HKHARA 00000109

01 FC:101  
02 FC:105  
03 FC:102

0360 ✓



PATENT APPLICATION  
Attorney Docket No. 19644-010 (Tufts-10)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANTS : Bachovchin  
ASSIGNEE : Tufts University  
SERIAL NUMBER : 09/289,321  
FILING DATE : April 9, 1999  
FOR : MULTIVALENT COMPOUNDS FOR CROSSLINKING RECEPTORS AND USES THEREOF  
EXAMINER : Not Yet Assigned  
ART UNIT : 1642

November 23, 1999  
Boston, Massachusetts

Assistant Commissioner for Patents  
Washington, D.C. 20231

TRANSMITTAL LETTER

Transmitted herewith for filing in the present application are the following documents:

- ☒ Petition for Four-Month Extension of Time
- ☒ Check No. [4747] in the amount of \$1360 to cover the cost of Extension
- ☒ Response to Notice to File Missing Parts Mailed May 27, 1999
- ☒ Copy of Declaration and Transmittal Papers as submitted under 37 C.F.R. § 1.63(d)(1) on April 9, 1999
- ☒ Check No. [4748] in the amount of \$838 to cover cost of filing fee (\$760) with one additional independent claim (\$78)
- ☒ Check No. [4749] in the amount of \$130 to cover surcharge for late filing fee,
- ☒ Preliminary Amendment
- ☒ Copy of Form PTO 1533
- ☒ Return Postcard.

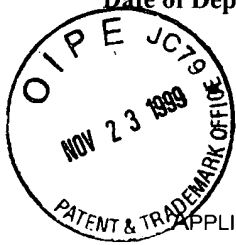
The Commissioner is hereby authorized to credit any overpayment or charge any deficiencies to Deposit Account No. 50-0311, Reference No. 19644-010 (Tufts-10). A duplicate copy of this Transmittal Letter is enclosed.

If the enclosed papers are considered incomplete, the Mail Room is respectfully requested to contact the undersigned collect at (617) 542-6000, Boston, Massachusetts.

Respectfully submitted,

Ivor R. Elrifi, Reg. No. 39,529  
David E. Johnson, Reg. No. 41,874  
Attorneys for Applicants  
c/o MINTZ, LEVIN  
One Financial Center  
Boston, Massachusetts 02111  
Tel: (617) 542-6000  
Fax: (617) 542-2241

Express Mail Label No.: EJ770267407US  
Date of Deposit: November 23, 1999



**PATENT APPLICATION**  
Attorney Docket No. 19644-010 (Tufts-10)

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

APPLICANTS : Bachovchin  
ASSIGNEE : Tufts University  
SERIAL NUMBER : 09/289,321  
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November 23, 1999  
Boston, Massachusetts

BOX Missing Parts  
Assistant Commissioner for Patents  
Washington, D.C. 20231

**RESPONSE TO NOTICE TO FILE MISSING PARTS**

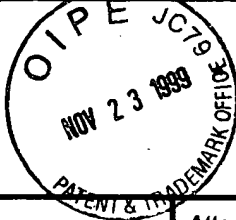
In response to the Notice To File Missing Parts mailed May 27, 1999 ("Notice"), Applicant submits herein the basic statutory filing fee of \$760 as set forth in 37 C.F.R. § 1.16(a), \$78 for one additional independent claim as set forth in 37 C.F.R. § 1.16(b), and payment of the surcharge for late filing (\$130.00) as set forth in 37 C.F.R. § 1.16(e).

Applicant notes that box number 3, which concerns the Oath or Declaration, appears to have been checked and then crossed-out in the Notice. Applicants believe that no Oath or Declaration is due, as a copy of a Declaration filed in a parent application was submitted at the time the present application was filed. However, in the event this copy of the Declaration is not of record, an additional copy of the Declaration is included herein, along with a copy of the transmittal papers from the original submission. A copy of form PTO-1533 is also included.

Please charge any additional fees that may be due, or credit any overpayment of same, to Deposit Account No. 50-0311, Reference No. Tufts-10 (19644-010).

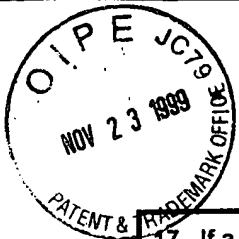
Respectfully submitted,

Ivor R. Elrifi, Reg. No. 39,529  
David E. Johnson, Reg. No. 41,874  
Attorneys for Applicants  
c/o MINTZ, LEVIN  
One Financial Center  
Boston, Massachusetts 02111  
Tel: (617) 542-6000  
Fax: (617) 542-2241



<b>UTILITY PATENT APPLICATION TRANSMITTAL</b>  <i>(Only for new nonprovisional applications under 37 CFR 1.53(b))</i>	Attorney Docket No.	I0254/7007(ERP)
	First Named Inventor or Application Identifier	
	BACHOVCHIN, William W.	
	Express Mail Label No.	EL056832747US
	Date of Deposit	April 9, 1999

<b>APPLICATION ELEMENTS</b> <i>See MPEP chapter 600 concerning utility patent application contents</i>	<b>ADDRESS</b> TO: Assistant Commissioner for Patents Box Patent Application Washington, DC 20231
<p>1. X Fee Transmittal Form <i>(Submit an original, and a duplicate for fee processing)</i></p> <p>2. X Specification-COPY FROM PARENT [Total pgs 149 including cover page, pages 18a-18s &amp; page 52a] 129 pages specification; 1 page cover page 0 pages abstract 19 pages claims 56 claims</p> <p>3. X Drawing(s) (35 USC 113) X Informal-COPY AS FILED IN PARENT [Total sheets 23] X Formal [Total sheets 20] [Total drawings 1A-1N, IP-IV, 2A-2C, 3-10, 11A-11D, 12 &amp; 13]</p> <p>4. X Oath or Declaration [Total pages 3] a. <input type="checkbox"/> Newly executed (original or copy) b. X Copy from a prior application (37 CFR 1.63(d)) <i>(for continuation/divisional with Box 17 completed)</i> <i>[Note Box 5 below]</i> i. <input type="checkbox"/> <b>DELETION OF INVENTOR(S)</b> Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).</p> <p>5. X Incorporation by Reference <i>(usable if Box 4b is checked)</i> The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 4b, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein.</p>	<p>6. <input type="checkbox"/> Microfiche Computer Program (Appendix)</p> <p>7. X Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary) a. X Computer Readable Copy b. X Paper Copy (identical to computer copy) c. X Statement verifying identity of above copies</p> <p><b>ACCOMPANYING APPLICATION PARTS</b></p> <p>8. X Assignment Papers (cover sheet &amp; documents(s))- COPY FROM PARENT</p> <p>9. X 37 CFR 3.73(b) Statement X Power of Attorney <i>(when there is an assignee)</i>-COPIES FROM PARENT</p> <p>10. <input type="checkbox"/> English Translation of Document <i>(if applicable)</i></p> <p>11. <input type="checkbox"/> Information Disclosure <input type="checkbox"/> Copies of IDS Statement (IDS)/PTO-1449 Citations</p> <p>12. X Preliminary Amendment</p> <p>13. X Return Receipt Postcard (MPEP 503) <i>(Should be specifically itemized)</i></p> <p>14. <input type="checkbox"/> Small Entity <input type="checkbox"/> Statement filed in prior Statement(s) application, Status still proper and desired</p> <p>15. <input type="checkbox"/> Certified Copy of Priority Document(s) <i>(if foreign priority is claimed)</i></p>
16. Other: <b>LETTER TO OFFICIAL DRAFTSPERSON</b>	



17. If a **CONTINUING APPLICATION**, check appropriate box and supply the requisite information:

X Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application serial no. 08/837,305, filed April 11, 1997.

X Cancel in this application original claims 2-16, 18-34, 36-38, 40-48, 50, and 53-55 of the prior application and add new claims 57-70 (Preliminary Amendment) before calculating the filing fee.

X Amend the specification by inserting before the first line the sentence:  
This application is a X continuation ☐ divisional of application serial no. 08/837,305, filed April 11, 1997, entitled MULTIVALENT COMPOUNDS FOR CROSSLINKING RECEPTORS AND USES THEREOF, and now pending, which is a continuation-in-part (CIP) of prior application serial no. 08/671,756, filed June 28, 1996, now abandoned.

#### 18. CORRESPONDENCE ADDRESS

Correspondence address below

ATTORNEY'S NAME	Elizabeth R. Plumer, Reg. No. 36,637				
NAME	Wolf, Greenfield & Sacks, P.C.				
ADDRESS	600 Atlantic Avenue				
CITY	Boston	STATE	MA	ZIP	02210
COUNTRY	USA	TELEPHONE	(617) 720-3500	FAX	(617) 720-2441

#### 19. SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT REQUIRED

NAME	Elizabeth R. Plumer, Reg. No. 36,637
SIGNATURE	<i>Elizabeth R. Plumer</i>
DATE	April 9, 1999

Inventor or Identifier: BACHOVCHIN, William W.

Serial No: Not yet assigned

Filed: Herewith

CHECK BOX, if applicable:

For: MULTIVALENT COMPOUNDS FOR CROSSLINKING  
RECEPTORS AND USES THEREOF☐ **DUPLICATE**

## Fee Calculation Sheet

CLAIMS	FOR	NUMBER FILED	NUMBER EXTRA	RATE	FEE
	TOTAL CLAIMS (37 CFR 1.16(c))	27-20=	7 x	\$18	= \$126.00
	INDEPENDENT CLAIMS (37 CFR 1.16(b))	5-3=	2 x	\$78	= \$156.00
	MULTIPLE DEPENDENT CLAIMS (if applicable) (37 CFR 1.16(d)) +			\$260.00	= \$260.00
				BASIC FEE (37 CFR 1.16(a))	\$760.00
	Total of above Calculations =				\$1,302.00
	Reduction by 50% for filing by small entity (Note 37 CFR 1.9, 1.27, 1.28).				\$
	Assignment Recordation Fee (if any)				\$
	Other Fees (e.g., Petition for Extension of Time), if any NOTE: Enter small-entity amount if applicable.				\$
	TOTAL =				\$1,302.00
	1. A check in the amount of \$_____ is enclosed.				

## General Authorization to Charge Deposit Account and General Request for Extension of Time

2. a. ☒ If the filing of any paper in this application necessitates the payment of a fee under 37 CFR § 1.16 ☒ 1.17 or ☐ 1.18, and the fee due is in an amount different from any enclosed check or if no check is enclosed, the Commissioner is hereby authorized to charge any deficiency or credit any overpayment to Deposit Account No. 23/2825.
- b. ☐ The applicant hereby revokes any prior authorization to charge a fee due under 37 CFR § 1.16 ☐ 1.17 or ☐ 1.18.
3. If the filing of any paper in this application necessitates an extension of time under 37 CFR § 1.136(a), the applicant hereby requests such extension of time. If the extension fee due is in an amount different from any enclosed check or if no check is enclosed, the Commissioner is hereby authorized to charge any deficiency in the extension fee or credit any overpayment to Deposit Account No. 23/2825.

Docket No. 10254/7007(ERP)  
Date: April 9, 1999

*Elizabeth R. Plumer*  
 Elizabeth R. Plumer, Reg. No. 36,637  
 Wolf, Greenfield & Sacks, P.C.  
 600 Atlantic Avenue  
 Boston, MA 02210-2211  
 (617) 720-3500  
 Attorneys of Record